



RECORDS RETENTION SCHEDULE

SECRETARY OF STATE

Schedule Date: June 1996



Prepared by
STATE RECORDS BRANCH
Public Records Division
Kentucky Department for Libraries and Archives

RECORDS RETENTION SCHEDULE

Signature Page

Secretary of State
Agency

June 13, 1996
Schedule Date


Unit

Change Date

June 13, 1996
Date Approved by Commission

APPROVALS

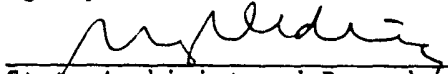
The undersigned approve of the following Records Retention Schedule or Change:


Agency Head

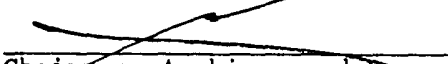
5/7/96
Date of Approval


Agency Records Officer

6/7/96
Date of Approval

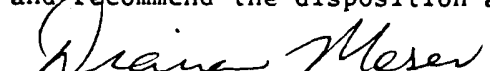

State Archivist and Records Administrator
Director, Public Records Division

5/31/96
Date of Approval

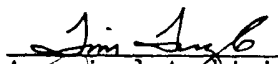

Chairman, Archives and Records Commission

Date of Approval

The undersigned Public Records Division staff have examined the record items and recommend the disposition as shown:


Records Analyst/Regional Administrator

5/31/96
Date of Approval


Appraisal Archivist

5/31/96
Date of Approval


State/Local Records Branch Manager

5/31/96
Date of Approval

The determination as set forth meets with my approval.


Auditor of Public Accounts

June 13, 1996
Date of Approval

DEPARTMENT OF STATE

The Department of State is primarily a recordkeeping agency headed by the Secretary of State. The Department is organized into two divisions: Corporate Filings and Corporate Records, and General Administration and Support. The State Board of Elections and the Registry of Election Finance are attached to the Department, in accordance with KRS 12.020.

Secretary of State

The Secretary of State is an elected constitutional state officer entrusted with filing, maintaining and preserving important state documents and public records, such as books, records, deeds, maps and other official papers, and recording the official acts of the Governor and reporting them to the General Assembly. The Secretary of State keeps the Seal of the Commonwealth (KRS 14.030) and affixes it to all communications and commissions issued in the name of the state. The approved drawings of the state flag are permanently retained in the files of the office of the Secretary of State (KRS 2.030). The Secretary of State is also designated as the state's agent for service of process under the Long Arm statute for nonresidents and for foreign corporations. The Secretary of State determines whether a runoff primary election is necessary for either or both parties, and is a member of the State Board of Elections and the County Debt Commission.

The Division of Corporations and Corporate Records is responsible for the administration of incorporation of businesses, both domestic and foreign, profit and nonprofit, including the administration of documents of merger, dissolution, name changes and certain stock matters.

The General Administration and Support Office is responsible for central policy research, planning and implementation; implements election laws pertaining to the Secretary of State; administers Kentucky's Notary Public and Uniform Commercial Code laws, and laws pertaining to the service of summonses and complaints and laws pertaining to trademarks and service marks. The Office also includes the Land Commission Office, which is responsible for recording deeds and titles to state-owned properties and other original land grants and survey documents, and arrest warrants, and issues commissions, pardons, commutations and extraditions.

RECORDS RETENTION SCHEDULE

STATE ARCHIVES AND RECORDS COMMISSION
Public Records Division
Kentucky Department for Libraries and Archives

Secretary of State
 Administrative Services

Schedule Date: June 13, 1996

Series No.	Record Title and Description	Retain at Agency (Years)	Disposition Instructions	Retain at State Archives or Records Ctr. (Years)
04554	\$50,000,000 Commonwealth of Kentucky General Obligation Highway Bonds - (Dated July 1, 1961) - (One notebook, transcript of proceedings) Closed Date: 8/1/1961	0	Transfer to the State Archives Center	P
04555	Kentucky National Emergency Special Police Book Index - (1943-1945) Closed Date: 1/1/1946	0	Transfer to the State Archives Center	P
04556	Agency Receipt Books - (1909-1953) Closed Date: 1/1/1954	0	Transfer to the State Archives Center	P
04588	Declarations of Trust File and Index Closed Date: 1/1/1980	0	Transfer to the State Archives Center	P
04589	General Indexes to Leases - State Property Closed Date: 1/1/1980	0	Transfer to the State Archives Center	P
04590	Lease Book - (1930) Closed Date: 1/1/1980	0	Transfer to the State Archives Center	P
04591	Register of Acts and Index - (1876; 1877-78; 1891-92; 1950) Closed Date: 1/1/1980	0	Transfer to the State Archives Center	P
04596	Distilled Spirits Reports - (1893 - 1899) Closed Date: 1/1/1900	0	Transfer to the State Archives Center	P
04557	Oath of Office Certification File	I	Transfer to the State Archives Center four years after the end of the gubernatorial term	P

C = Confidential Record

I = Indefinite

P = Permanent

V = Vital Record

RECORDS RETENTION SCHEDULE

STATE ARCHIVES AND RECORDS COMMISSION
Public Records Division
Kentucky Department for Libraries and Archives

Secretary of State
 Administrative Services

Schedule Date: June 13, 1996

Series No.	Record Title and Description	Retain at Agency (Years)	Disposition Instructions	Retain at State Archives or Records Ctr. (Years)
04558	Certification of Election Filings and Election Totals File - (Includes candidate filing papers, certification of candidates, and vote total information) (V)	I	Retain no longer than nine years, then transfer to the State Archives Center	P
03110	Summons File (V)	I	Destroy six months from date of Memorandum Return to Court or No Response Letter	
03111	Hague Convention Summons File (V)	I	Destroy one year from date of Memorandum Return to Court or No Response Letter	
04559	Executive Orders Commissioning Kentucky Colonels	I	Transfer to the State Archives Center four years after the end of the gubernatorial term	P
04560	Governor's Executive Order File - Miscellaneous - (Includes employment contracts, court orders, non-merit appointments, paroles, re-organizations, special notaries) (V)	I	Transfer to the State Archives Center four years after the end of the gubernatorial term	P
04561	Executive Orders - Governor's Leave of Absence from State - (Executive Orders) Closed Date: 11/1/1992 (V)	0	Transfer to the State Archives Center	P

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STATE ARCHIVES AND RECORDS COMMISSION
Public Records Division
Kentucky Department for Libraries and Archives

Secretary of State
Administrative Services

Schedule Date: June 13, 1996

Series No.	Record Title and Description	Retain at Agency (Years)	Disposition Instructions	Retain at State Archives or Records Ctr. (Years)
04562	Governor's Executive Order File - (Includes extraditions, requisitions, proclamations, appointments) (V)	I	Transfer to the State Archives Center four years after the end of the gubernatorial term	P
04563	Governor's Executive Order File - (Includes commutation of sentences, restorations of civil rights, and pardons) (V)	I	Transfer to the State Archives Center four years after the end of the gubernatorial term	P
04564	Executive Journal and Indexes - (Provides a compilation of the official actions of the Governor) (V)	P	Retain in agency	
04565	Enrolled Bills of the Legislature - (Pink and Green copies) (V)	8	Transfer to the State Archives Center	P

RECORDS RETENTION SCHEDULE

STATE ARCHIVES AND RECORDS COMMISSION
Public Records Division
Kentucky Department for Libraries and Archives

Secretary of State
Land Office

Schedule Date: June 13, 1996

Series No.	Record Title and Description	Retain at Agency (Years)	Disposition Instructions	Retain at State Archives or Records Ctr. (Years)
04566	Revenue Bond File	20	Transfer to the State Archives Center	P
04567	Establishment of Hospital District File	P	Retain in agency	
04568	Special Filings File	P	Retain in agency	
04569	Deed File for State-Owned Property and Index (V)	P	Retain in agency	
04570	Interlocal and Interstate Compact Agreement File	I	Destroy ten years after satisfaction of the terms of the agreement	
04571	Public Official/Employee Blanket Bond File and Index (V)	I	Destroy five years after the expiration of the bond. NOTE: The Index must be retained an equal period of time	
04572	Land Grant Record File (V)	P	Retain in agency	
04573	Entry Books and Indexes for Military and Fayette, Lincoln, Nelson Counties - (Nelson County 1785-1820; Fayette County 1782-1817; Lincoln County 1779-1787; Military 1784-1797) Closed Date: 1/1/1821 (V)	P	Retain in agency	
04574	Military and Treasury Warrant Register (Index) - (Contains Military warrants and indexes, including Virginia Treasury warrants and certificates by County Commissioners) Closed Date: 1/1/1797 (V)	P	Retain in agency	

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RECORDS RETENTION SCHEDULE

STATE ARCHIVES AND RECORDS COMMISSION
Public Records Division
Kentucky Department for Libraries and Archives

Secretary of State
Land Office

Schedule Date: June 13, 1996

Series No.	Record Title and Description	Retain at Agency (Years)	Disposition Instructions	Retain at State Archives or Records Ctr. (Years)
04575	Deputy Register of Surveys File - (Covers period 1782 - 1786) Closed Date: 1/1/1787 (V)	P	Retain in agency	
04576	Declined Patent Application File - (Relates to land appropriations)	P	Retain in agency	
04577	County Court Order Land Record Group Database - (Electronic)	P	Retain in agency	
04578	Suits Filed Against Sheriffs by State Series - (Covers period 1863-1894) Closed Date: 1/1/1875 (V)	P	Retain in agency	
04579	Soil Conservation District, Articles of Incorporation Certificates File and Index (V)	P	Retain in agency	
04580	Incorporated Towns (Sixth Class Cities) File (V)	P	Retain in agency	

RECORDS RETENTION SCHEDULE

STATE ARCHIVES AND RECORDS COMMISSION
Public Records Division
Kentucky Department for Libraries and Archives

Secretary of State
Corporations

Schedule Date: June 13, 1996

Series No.	Record Title and Description	Retain at Agency (Years)	Disposition Instructions	Retain at State Archives or Records Ctr. (Years)
04581	Indexes to Corporation Files Closed Date: 1/1/1984 (V)	P	Retain in agency	
04582	Corporation Card File - (Provides access to records dating from the 1800s to 1967) Closed Date: 1/1/1968 (V)	P	Retain in agency	
04583	Corporation File - (Includes domestic and foreign companies) (V)	P	Retain in agency	
04584	Name Reservation and Registration File - (Reservation or registration of name for foreign corporation)	I	Transfer to the Corporation File (04583) upon receipt of Articles of Incorporation or other appropriate certification. If either document expires, destroy after three years, and audit	
04585	Business/Corporation Information Database (BIS) - (Electronic) - (Serves as an index to Corporation files) (V)	P	Retain in agency	
04586	Clerk's Signature for Certification File - (To certify notarized documents) (V)	I	Destroy at end of term, if not re-elected	
04587	Apostille and Authentication File - (Contains copies of certificates attached to documents intended for use in foreign countries) Change Date: 9/30/1998 (V)	I	Destroy six months after the end of term of the Secretary of State	

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RECORDS RETENTION SCHEDULE

STATE ARCHIVES AND RECORDS COMMISSION
Public Records Division
Kentucky Department for Libraries and Archives

Secretary of State
Notary Public

Schedule Date: June 13, 1996

Series No.	Record Title and Description	Retain at Agency (Years)	Disposition Instructions	Retain at State Archives or Records Ctr. (Years)
03124	Notary Public Special File - (Duplicate) - (Record copy found in the Executive Journal - series 04564)	4	Destroy after audit	
03393	Notary Public Commission File Change Date: 9/30/1998	P	Retain in agency	

RECORDS RETENTION SCHEDULE

STATE ARCHIVES AND RECORDS COMMISSION
Public Records Division
Kentucky Department for Libraries and Archives

Secretary of State
Corporate Filings

Schedule Date: June 13, 1996

Series No.	Record Title and Description	Retain at Agency (Years)	Disposition Instructions	Retain at State Archives or Records Ctr. (Years)
03394	Trademark/Service Mark Application File	I	Destroy three years after date of expiration, and audit	
03395	Trademark/Service Mark Card File	I	Destroy three years after date of expiration of trademark/service mark	
03396	Uniform Commercial Code Financing Statement File - (Nonresident filings - liens against property) Change Date: 9/19/1996	I	Destroy one year after lapse or termination	
03397	Uniform Commercial Code Filings Index Change Date: 9/19/1996	I	Destroy after last related UCC file is destroyed	